

Summary of Changes  
to  
Procedure 200.2  
Electronic Records Procedure

**Revised Version Issued as P 200.2A**

LM Procedure 200.2, Electronic Records Procedure of 5/09/05, has undergone minor revisions. The procedure has been revised to reflect changes in definitions and formatting.

# U.S. Department of Energy Office of Legacy Management



## Procedure: 200.2a

Effective: 7/17/06

SUBJECT: ELECTRONIC RECORDS

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1. PURPOSE.

This document establishes a U.S. Department of Energy (DOE) Office of Legacy Management (LM) procedure to comply with requirements concerning the creation, identification, preservation, and disposition of electronic records used to provide documentation of the LM mission or evidence of LM business transactions.

2. CANCELLATION. None

3. REFERENCES.

- a. 18 United States Code (U.S.C.) 2511, The Electronic Communications Privacy Act
- b. 18 U.S.C. 2701–2707, The Electronic Communications Act of 1986
- c. 44 U.S.C. 35, Paperwork Reduction Act of 1980, as amended
- d. 44 U.S.C. 36, E-government Act of 2002
- e. 44 U.S.C. 3504(e), Paperwork Reduction Reauthorization Act of 1995
- f. 36 Code of Federal Regulations (CFR), Chapter 12, Subchapter B, Records Management
- g. DOE Guide 1324.5B, Implementation Guide for Use with 36 CFR Chapter XII – Subchapter B Records Management
- h. DOE Order 200.1, Information Management Program

- i. DOE Order 243.1, Records Management Program
- j. DOE-STD-4001-2000, Design Criteria Standard for Electronic Records Management Software Applications
- k. LM Procedure 200.4, Records Management
- l. National Archives and Records Administration (NARA) Guidance on Managing Web Records, January 2005
- m. Office of Management and Budget Circular A-130, Management of Federal Information Resources

4. DEFINITIONS.

- a. Active Records -- Records that are required for day to day operations and are maintained by the generating organization.
- b. Audiovisual Records -- Records in pictorial or aural form that include still and motion media, sound recordings, graphic works, mixed media, and related finding aids and production files.
- c. Authentication -- Confirming information contained within a document is accurate, complete, and appropriate. Authentication warrants that the record(s) does/do not result from any manipulation, substitution, or falsification occurring after it was made or received (i.e., the record is what it purports to be, free from tampering or corruption). Authentication is synonymous with validation.
- d. Central Files -- Files accumulated by several offices or organizational units and maintained and supervised in one location. Also called Centralized Files.
- e. Data File -- Related numeric, textual, or graphic information that is organized in a strictly prescribed electronic form and format.
- f. Digital Photograph -- An electronic image recorded in a format that can be viewed only by a computer. Many digital photographs have permanent value under DOE Administrative Schedule 21. To be accepted by NARA, digital photograph records must meet the standards published as: Expanding Acceptable Transfer Requirements: Transfer Instructions for Permanent Electronic Records – Digital Photographic Records. Metadata to be associated with digital photographs includes date taken, activity, individuals shown, significance, the camera used, resolution, and file format.
- g. Disposition -- A broad term which may refer to any of the following:
  - (1) Destroying records;

- (2) Offering and transferring those records to NARA;
  - (3) Retiring or transferring records to a records storage facility;
  - (4) Transferring records from one office or agency to another; and
  - (5) Donating records to a Government or non-government entity.
- h. Documentary Material -- A collective term for records, non-record materials, and personal papers that refers to all media on which information is recorded, regardless of the nature of the medium or the method or circumstances of the recording.
- i. Electronic Copy -- The action or result of reading data electronically from a source, leaving the source data unchanged, and writing the same data elsewhere on a medium that may differ from the source. Multiple copies of important data files may be maintained to protect against loss or file corruption.
- j. Electronic Information System (EIS) -- A system that contains and provides access to computerized information, which may include Federal records. An EIS may include a spreadsheet, a tracking system, or other function designed to automate business functions. An EIS may or may not incorporate all aspects of appropriate electronic recordkeeping, depending on its design characteristics.
- k. Electronic Mail (E-mail) -- A document created or received on an electronic mail system including brief notes, more formal or substantive narrative documents, and any attachments which may be transmitted with the message.
- l. Electronic Record -- Any information that is recorded in a form that only a computer can process, that satisfies the definition of a Federal record, and that is stored in an approved LM electronic recordkeeping system.
- m. Electronic Recordkeeping System (ERKS) -- An EIS that meets an agency's recordkeeping needs. NARA defines an ERKS as an EIS in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. An ERKS ensures that the records it maintains will have sufficient authenticity and reliability to meet the agency's recordkeeping requirements. These requirements are based in statute, ensuring "adequate and proper documentation," which contributes to efficient and economical agency operations.
- n. File Plan -- A comprehensive outline specific to a project, organization, or function that defines its records series, file organization, records custodians, active file locations, file transfer instructions, file retention and disposition

instructions, and other project- or organization-specific instructions that provides guidance for effective management of its records.

- o. Hard Copy -- A term which refers to the following:
  - (1) Recorded information copied from a computer onto paper or some other durable surface, such as microfilm. To be distinguished from a temporary image on a display screen and from the electronic information on a magnetic tape or disk(ette) or in the computer's main memory.
  - (2) Recorded information copied from microfilm onto paper and made readable without a special device.
  - (3) A paper record that may later be filmed or digitized.
- p. Inactive Records -- Records which must be retained, but are accessed infrequently.
- q. LM Personnel -- Federal and contractor personnel associated with LM.
- r. Medium -- The physical form of recorded information. Includes paper, film, disk, compact disc, magnetic tape, and other materials on which information can be recorded. Mediums must be protected from exposure to extreme heat, cold, moisture, sunlight, and electromagnetic fields to prevent against premature deterioration or loss.
- s. Metadata -- Data about data (e.g., data that describes or is associated with a computer file but is separate from the file content itself). Metadata is a key element with regard to e-mail policy because it contains information that enables the transmission of and the document itself to be authenticated. Metadata differs among categories of applications (e.g., computer-aided design, electronic mail) and may differ among different software packages. Various metadata standards exist for specific applications.
- t. Non-Record Materials -- Non-record materials consist of information contained on any media having no documentary or evidential value. The term includes stock of publications, library material, duplicate copies of file materials such as reading files, processed or published materials, catalogues, trade journals, and papers of transitory value such as worksheets, informal notes, and routing slips. Non-record material should be destroyed when its purpose is served.
- u. Portable Electronic Medium -- A CD-ROM, floppy disk, or similar device for storage of non-record data files.
- v. Record -- All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made

or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.

- w. Records Liaison Officer (RLO) -- A member of the Archives and Information Management (AIM) Team designated by the AIM Supervisor.
- x. Records Points of Contact (POCs) -- Designated LM staff members who work with the AIM Team to support records management activities for their respective sites and assigned organizations.
- y. Retention Schedule -- A timetable identifying how long a record must be retained in active and inactive status before final disposition. A retention schedule also may indicate the organization that has responsibility as official custodian, the media it is recorded on, and the file station where it is stored. In addition, retention schedules for electronic records systems will describe each system component; indicate the storage media to be used, and the locations where the records are to be stored.
- z. Web Site-Related Records -- Web site-related records include (1) web content records, which represent information presented on a web site, and (2) web site administrative records, which provide evidence of the management and operations of the web site.

## 5. QUALITY CONTROL.

- a. This procedure shall be reviewed annually and as necessary by the RLO to accommodate changing conditions within LM and to ensure compliance with applicable laws, regulations, and DOE requirements.
- b. Data files stored on portable electronic media shall be inspected by the Records POCs for readability at least annually and migrated to new media every 4 years. Portable electronic media shall be used only to store non-record material.
- c. Hard copies of electronic mail records shall be inspected as received by Records POCs to ensure required transmission and receipt information accompanies each record copy.
- d. Hard copies of electronic records shall be inspected annually by Records POCs to ensure they continue to be in acceptable condition and are being maintained according to the published LM File Plan.

6. RESPONSIBILITIES.

- a. Office Directors shall ensure establishment of this procedure according to Federal laws and regulations.
- b. The LM Program Records Official shall ensure this procedure is implemented and utilized by Federal and contractor employees.
- c. The RLO:
  - (1) Ensures electronic records are created, identified, preserved, and dispositioned as specified in this procedure.
  - (2) Assists any LM staff member or contractor organization with the management of its electronic records.
  - (3) Ensures this procedure and associated documentation comply with current Federal law and regulations, are utilized, and are kept current.
  - (4) Ensures LM personnel are trained annually.
- d. The Records POCs:
  - (1) Provide guidance on electronic records to their organization and acts as a liaison between their organization and AIM.
  - (2) Ensure electronic records for their assigned organization or department are created, identified, preserved, and dispositioned.
- e. LM personnel shall:
  - (1) Familiarize themselves with the concept and practice of distinguishing between electronic record and non-record material.
  - (2) Create, identify, preserve, and disposition electronic records according to this procedure.

7. TRAINING REQUIREMENTS.

- a. Federal employees are required to read and understand the most current version of this procedure on at least an annual basis.
- b. Additional training requirements will be promoted in computer-based training, newsletter articles, and on the LM Intranet.

8. DOCUMENT CONTROL.

- a. The current and official controlled hard copy version of this document shall reside with the Directives Manager.
- b. A read-only, electronic version of this document shall be placed on the LM Intranet by the Directives Manager for employee use.
- c. Printed hard copies of this document shall be considered information only copies.

9. PROCEDURE.

Electronic records are identified by the same criteria used to identify paper records. As with other records, distinguishing electronic record vs. non-record material should focus on the information content, not the media. (See Attachment E. of LM Procedure 200.4, Records Management.)

This procedure does not provide records management guidance for electronic information systems, electronic recordkeeping systems, digital photographs, audiovisual, or web site-related records. Federal employees managing the aforementioned record types shall seek guidance from the RLO or Records POCs.

The following applies to Federal employees for all existing, new, or recently received electronic records used to document LM's mission or provide evidence of a LM business transaction.

a. Document Creation

- (1) Create LM electronic documentary materials, naming the data files as follows:
  - (a) Use descriptive data file names that clearly identify the subject and version of the information content within the file.
  - (b) Utilize default data file extensions, when available, for identification of the application used to produce it. (e.g., .doc – Microsoft Word, .xls – Microsoft Excel, .pdf – Adobe Acrobat)
- (2) Save or copy electronic data files onto network drives that are on an established backup schedule, when possible. If a new electronic data file is initially saved to a portable electronic medium (CD-Rom, floppy disk, etc.), save the file to a network drive as soon as possible.
- (3) Use portable electronic medium (CD-ROM, floppy disk, etc.) for storage of non-record data files.



b. Identification of Record vs. Non-Record Material

- (1) Upon creation of electronic documentary materials, make a determination as to whether the material is record or non-record by applying the definition of a record.
- (2) Make a determination of a record, if:
  - (a) The material documents LM's mission.
  - (b) The material provides evidence of a LM business transaction.
- (3) Make the determination of non-record, if the material does not meet the definition of a record.
- (4) Seek guidance from the RLO or a Records POC when a determination cannot be made or clarification is required.

c. Preservation

- (1) Preserve data files determined to be records by printing a hard copy.
- (2) Include the following metadata when printing an electronic mail determined to be a record:
  - Sender;
  - Recipients;
  - Date and time of transmission;
  - Date and time of receipt, if a read receipt was requested and received;
  - Distribution lists; and
  - Attachments.
- (3) Seek guidance from the RLO or a Records POC for data files determined to be a record that cannot be printed to hard copy.
- (4) File, store, and retain hard copies of electronic records in the appropriate Central Files and according to the published LM File Plan.

d. Disposition

- (1) Disposition all records according to the published LM File Plan.
- (2) Delete non-record data files when no longer needed.
- (3) Delete record data files when a hard copy record has been printed and the data file is not needed for reference.

10. ATTACHMENTS.

Attachment A. – Electronic Records Creation, Identification, Preservation, and Disposition Flowchart

**Distribution:** As required

Approved: Original signed by Celinda H. Crawford  
Director  
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## Attachment A. – Electronic Records Creation, Identification, Preservation, and Disposition Flowchart

